



07-74-03
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469/1644

EXPRESS MAIL NO. EV336590934US

PTO/SB/21/(08-00)


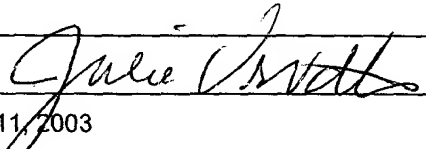
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (To be used for all correspondence after initial filing)	Application Number	09/685,830 ✓
	Filing Date	October 9, 2000
	First Named Inventor	Alexander Gaiger et al.
	Group Art Unit	1644
	Examiner Name	Ronald B. Schwadron
	Attorney Docket No.	210121.465C3

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement; Form PTO-1449 (9 Sheets) <input checked="" type="checkbox"/> 105 Cited References <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts under 37 C.F.R. 1.52 or 1.53 <input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Declaration <input type="checkbox"/> Statement under 37 CFR 3.73(b) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund	<input type="checkbox"/> CD(s), Number of CD(s) _____ <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Additional Enclosure(s) (please identify below): _____ _____ _____
Remarks		

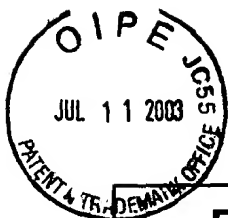
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Individual Name	Julie A. Urvater, Ph.D. Patent Agent Reg. No. 50,461	 00500 PATENT TRADEMARK OFFICE
Signature		
Date	July 11, 2003	

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EXPRESS MAIL NO. EV336590934US

PTO/IB/17 (01-03)
Approved for use through 04/30/2003. OMB 0651-0032**FEE TRANSMITTAL
for FY 2003**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT (\$)** 180.00

Complete if Known

Application Number	09/685,830
Filing Date	October 9, 2000
First Named Inventor	Alexander Gaiger et al.
Examiner Name	Ronald B. Schwadron
Group Art Unit	1644
Attorney Docket No.	210121.465C3

METHOD OF PAYMENT

☒ Payment Enclosed:
☒ Check ☐ Credit card ☐ Money Order ☐ Other

☐ Deposit Account:
Deposit Account Number: 19-1090
Deposit Account Name: Seed Intellectual Property Law Group PLLC

The Commissioner is authorized to (check all that apply)
☐ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any deficiencies to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid	
Total Claims		** =		*		=	
Independent Claims		** =		*		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)				

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2520	1812	2520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1840*	1805	1840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1450	2254	725	Extension for reply within fourth month	
1255	1970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1510	1451	1510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1300	2453	650	Petition to revive - unintentional	
1501	1300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee for provisional applications	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid					SUBTOTAL (3) (\$)
					180.00

SUBMITTED BY

Name (Print/Type)	Julie A. Urvater, Ph.D.	Registration No. Attorney/Agent	50,461
Firm Name/Address			
Signature	<i>Julie Urvater</i>	Date	July 11, 2003



00500

PATENT TRADEMARK OFFICE



EXPRESS MAIL NO. EV336590934US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Alexander Gaiger et al.
Application No. : 09/685,830
Filed : October 9, 2000
For : COMPOSITIONS AND METHODS FOR WT1 SPECIFIC
IMMUNOTHERAPY
Examiner : Ronald B. Schwadron
Art Unit : 1644
Docket No. : 210121.465C3
Date : July 11, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents:

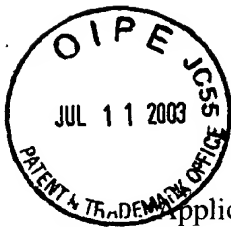
In accordance with 37 C.F.R. §§ 1.56 and 1.97 through 1.98, applicants wish to make known to the Patent and Trademark Office the references set forth on the attached form PTO-1449 (copies of the cited references, as required under 37 C.F.R. § 1.98, are enclosed). As to any reference supplied, applicants do not admit that it is "prior art" under 35 U.S.C. §§ 102 or 103, and specifically reserve the right to traverse or antedate any such reference, as by a showing under 37 C.F.R. § 1.131 or other method. Although the aforesaid references are made known to the Patent and Trademark Office in compliance with applicants' duty to disclose all information they are aware of which is believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

Applicants note that reference AI (JP 11-89596) is written in Japanese. Accordingly, the Examiners attention is respectfully directed to references GH-GL, which present English abstracts and the relevant nucleotide sequences.

07/16/2003 JBALINAN 00000034 09685830

01 FC:1806

180.00 OP



Applicants note that reference AJ (JP 11-89599) is written in Japanese. Accordingly, the Examiners attention is respectfully directed to references GM, GN and HC-HG, which present English abstracts and the relevant nucleotide sequences.

Applicants note that reference AK (WO 96/38176) is written in Japanese. Accordingly, the Examiners attention is respectfully directed to references CL-CN, DC-DL, which present English abstracts and the relevant nucleotide sequences.


Applicants note that reference AL (WO 99/03506) is written in Japanese. Accordingly, the Examiners attention is respectfully directed to references FC-FN, GC-GG, which present English abstracts and the relevant nucleotide sequences.

Applicants note that reference AL (WO 00/06602) is written in Japanese. Accordingly, the Examiners attention is respectfully directed to references HH-HN, IC, which present English abstracts and the relevant nucleotide sequences.

Please acknowledge receipt of this Second Supplemental Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

A fee of \$180 is submitted in accordance with 37 C.F.R. § 1.97(c). The Commissioner is authorized to charge any other fees which may be required, or credit any overpayment to Deposit Account No. 19-1090.

Respectfully submitted,
Seed Intellectual Property Law Group PLLC




Julie A. Urvater, Ph.D., Patent Agent
Registration No. 50,461

JAU:ljt

Enclosures:

- Postcard
- Check for \$180
- Form PTO/SB/21
- Form PTO/SB/17 (+ Copy)
- Form PTO-1449 (9 Sheets)
- Cited References (105)

701 Fifth Avenue, Suite 6300
Seattle, Washington 98104-7092
Phone: (206) 622-4900
Fax: (206) 682-6031
\\395316

FORM PTO-1449 (REV. 7-80)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 210121.465C3	APPLICATION NO. 09/685,830
 SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		APPLICANTS Alexander Gaiger et al.	
		FILING DATE October 9, 2000	GROUP ART UNIT 1644

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
BA						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
BB					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

BC	GenBank Database, Accession No. AAB33427, May 12, 1995.
BD	GenBank Database, Accession No. AAB33443, July 11, 1995.
BE	GenBank Database, Accession No. AAC60039, November 8, 1996.
BF	GenBank Database, Accession No. BAA94794, April 21, 2000.
BG	GenBank Database, Accession No. CAA35956, May 29, 1991.
BH	GenBank Database, Accession No. CAA43819, December 3, 1993.
BI	GenBank Database, Accession No. CAA59736, February 13, 1996.
BJ	GenBank Database, Accession No. I51960, November 5, 1999.
BK	GenBank Database, Accession No. M30393, June 15, 1990.
BL	GenBank Database, Accession No. NM_000378, November 5, 2000.
BM	GenBank Database, Accession No. NM_024424, March 20, 2001.
BN	GenBank Database, Accession No. NM_024426, March 20, 2001.

EXAMINER	DATE CONSIDERED
----------	-----------------

* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).

FORM PTO-1449
(REV.7-80)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
210121.465C3APPLICATION NO.
09/685,830**SECOND SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

APPLICANTS

Alexander Gaiger et al.

FILING DATE

October 9, 2000

GROUP ART UNIT

1644

U.S. PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CA						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
CB					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

CC	GenBank Database, Accession No. NP_000369, November 5, 2000.
CD	GenBank Database, Accession No. NP_077742, March 20, 2001.
CE	GenBank Database, Accession No. NP_077743, March 20, 2001.
CF	GenBank Database, Accession No. NP_077744, March 20, 2001.
CG	GenBank Database, Accession No. NP_113722, April 6, 2003.
CH	GenBank Database, Accession No. O62651, November 1, 1998.
CI	GenBank Database, Accession No. P50902, October 1, 1996.
CJ	GenBank Database, Accession No. S75264, July 11, 1995.
CK	GenBank Database, Accession No. X51630, May 29, 1991.
CL	Geneseq Database, Accession No. AAT45130, August 19, 1997.
CM	Geneseq Database, Accession No. AAT45131, August 20, 1997.
CN	Geneseq Database, Accession No. AAT45132, August 20, 1997.

EXAMINER

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		FILING DATE October 9, 2000	GROUP ART UNIT 1644

U.S. PATENT DOCUMENTS

INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
DA						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
DB					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DC	Geneseq Database, Accession No. AAT45133, August 20, 1997.
DD	Geneseq Database, Accession No. AAT45134, August 20, 1997.
DE	Geneseq Database, Accession No. AAT45135, August 20, 1997.
DF	Geneseq Database, Accession No. AAT45136, August 20, 1997.
DG	Geneseq Database, Accession No. AAT45137, August 20, 1997.
DH	Geneseq Database, Accession No. AAT45138, August 20, 1997.
DI	Geneseq Database, Accession No. AAT45139, August 20, 1997.
DJ	Geneseq Database, Accession No. AAT45140, August 20, 1997.
DK	Geneseq Database, Accession No. AAT45141, August 20, 1997.
DL	Geneseq Database, Accession No. AAT45142, August 20, 1997.
DM	Geneseq Database, Accession No. AAT97855, March 9, 1998.
DN	Geneseq Database, Accession No. AAT97856, March 9, 1998.

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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
EA						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
EB					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EC	Geneseq Database, Accession No. AAT97857, March 9, 1998.
ED	Geneseq Database, Accession No. AAT97858, March 9, 1998.
EE	Geneseq Database, Accession No. AAT97859, March 9, 1998.
EF	Geneseq Database, Accession No. AAT97860, March 9, 1998.
EG	Geneseq Database, Accession No. AAT97861, March 9, 1998.
EH	Geneseq Database, Accession No. AAT97862, March 9, 1998.
EI	Geneseq Database, Accession No. AAT97863, March 9, 1998.
EJ	Geneseq Database, Accession No. AAT97864, March 9, 1998.
EK	Geneseq Database, Accession No. AAT97865, March 9, 1998.
EL	Geneseq Database, Accession No. AAT97866, March 9, 1998.
EM	Geneseq Database, Accession No. AAT97867, March 9, 1998.
EN	Geneseq Database, Accession No. AAT97868, March 9, 1998.

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FA						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
FB					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

FC	Geneseq Database, Accession No. AAX15839, May 11, 1999.
FD	Geneseq Database, Accession No. AAX15840, May 11, 1999.
FE	Geneseq Database, Accession No. AAX15841, May 11, 1999.
FF	Geneseq Database, Accession No. AAX15842, May 11, 1999.
FG	Geneseq Database, Accession No. AAX15843, May 11, 1999.
FH	Geneseq Database, Accession No. AAX15844, May 11, 1999.
FI	Geneseq Database, Accession No. AAX15845, May 11, 1999.
FJ	Geneseq Database, Accession No. AAX15846, May 11, 1999.
FK	Geneseq Database, Accession No. AAX15847, May 11, 1999.
FL	Geneseq Database, Accession No. AAX15848, May 11, 1999.
FM	Geneseq Database, Accession No. AAX15849, May 11, 1999.
FN	Geneseq Database, Accession No. AAX15850, May 11, 1999.

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GA						

FOREIGN PATENT DOCUMENTS

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				YES	NO
GB					

OTHER PRIOR ART *(Including Author, Title, Date, Pertinent Pages, Etc.)*

GC	Geneseq Database, Accession No. AAX15851, May 11, 1999.
GD	Geneseq Database, Accession No. AAX15852, May 11, 1999.
GE	Geneseq Database, Accession No. AAX15853, May 11, 1999.
GF	Geneseq Database, Accession No. AAX15854, May 11, 1999.
GG	Geneseq Database, Accession No. AAX15855, May 11, 1999.
GH	Geneseq Database, Accession No. AAX23927, June 25, 1999.
GI	Geneseq Database, Accession No. AAX23928, June 25, 1999.
GJ	Geneseq Database, Accession No. AAX23929, June 25, 1999.
GK	Geneseq Database, Accession No. AAX23930, June 25, 1999.
GL	Geneseq Database, Accession No. AAX23931, June 25, 1999.
GM	Geneseq Database, Accession No. AAX34315, July 6, 1999.
GN	Geneseq Database, Accession No. AAX34316, July 6, 1999.

EXAMINER

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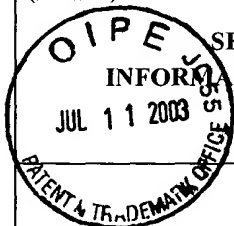
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HA						

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
HB					

OTHER PRIOR ART *(Including Author, Title, Date, Pertinent Pages, Etc.)*

HC	Geneseq Database, Accession No. AAX34317, July 6, 1999.
HD	Geneseq Database, Accession No. AAX34318, July 6, 1999.
HE	Geneseq Database, Accession No. AAX34319, July 6, 1999.
HF	Geneseq Database, Accession No. AAX34320, July 6, 1999.
HG	Geneseq Database, Accession No. AAX34321, July 6, 1999.
HH	Geneseq Database, Accession No. AAY80196, May 24, 2000.
HI	Geneseq Database, Accession No. AAY80197, May 24, 2000.
HJ	Geneseq Database, Accession No. AAY80198, May 24, 2000.
HK	Geneseq Database, Accession No. AAY80199, May 24, 2000.
HL	Geneseq Database, Accession No. AAY80200, May 24, 2000.
HM	Geneseq Database, Accession No. AAY80201, May 24, 2000.
HN	Geneseq Database, Accession No. AAY80202, May 24, 2000.

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IA						

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	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
IB					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

IC	Genseq Database, Accession No. AAY80203, May 24, 2000.
ID	Genseq Database, Accession No. ABP42234, August 22, 2002.
IE	
IF	
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IN	

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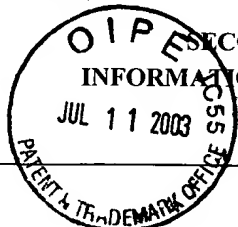
FORM PTO-1449
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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,633,142	05/27/97	Herlyn et al.	435	7.23	
	AB	5,670,317	09/23/97	Ladanyi et al.	435	6	
	AC	5,726,288	03/10/98	Call et al.	530	350	
	AD	6,034,235	03/07/00	Sugiyama et al.	536	24.5	
	AE	6,277,832	08/21/01	Sugiyama et al.	514	44	
	AF	6,316,599 B1	11/13/01	Call et al.	530	387.7	

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		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AG	EP 1004319 A1	05/31/00	EPO		
	AH	EP 1103564 A1	05/30/01	EPO		
	AI	JP 11-89596 A	04/06/99	Japan		X
	AJ	JP 11-89599 A	04/06/99	Japan		X
	AK	WO 96/38176	12/05/96	WIPO		X
	AL	WO 99/03506	01/28/99	WIPO		X
	AM	WO 00/06602	02/10/00	WIPO		X
	AN	WO 01/60970	08/23/01	WIPO		
	AO	WO 01/94629	12/13/01	WIPO		
	AP	WO 02/00677	01/03/02	WIPO		

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	GenBank Database, Accession No. A39692, February 16, 1997.
	AR	GenBank Database, Accession No. AAA36810, June 15, 1990.
	AS	GenBank Database, Accession No. AAA62825, October 27, 1994.

EXAMINER

DATE CONSIDERED

* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).